

# EXHIBIT C

## **INFORMATION REQUESTED TO PROCESS YOUR CLAIM**

### **Instructions**

Please answer all four (4) questions and any applicable sub-questions. Please include as much detail as possible in your responses. **Your answers should provide more information than the initial proof of claim.** For example, if you previously wrote as the basis for your claim "Ley 96," please elaborate as to the specific laws on which you are purporting to rely, the year the law at issue was enacted, and how and why you believe such particular law provides a basis for your claim. Additionally, if available and applicable to your claim, please provide:

- Copy of a pleading, such as a Complaint or an Answer;
- Any unpaid judgment or settlement agreement;
- Written notice of intent to file a claim with proof of mailing;
- Any and all documentation you believe supports your claim.

Please send the completed form and any supporting documents via **email** to [PRClaimsInfo@primeclerk.com](mailto:PRClaimsInfo@primeclerk.com), or by **mail or hand delivery** to the following address:

Commonwealth of Puerto Rico Supplemental Information Processing Center  
c/o Prime Clerk, LLC  
850 Third Avenue, Suite 412      **Received!**  
Brooklyn, NY 11232

**DEC 03 2019**

**Prime Clerk LLC**

CDS 11/26/19

### **Questionnaire**

#### **1. What is the basis of your claim?**

- A pending or closed legal action with or against the Puerto Rican government
- Current or former employment with the Government of Puerto Rico
- Other (Provide as much detail as possible below. Attach additional pages if needed.)

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#### **2. What is the amount of your claim (how much money do you claim to be owed):**

Bondholder

415,000

#### **3. Employment. Does your claim relate to current or former employment with the Government of Puerto Rico?**

- No. Please continue to Question 4.
- Yes. Answer Questions 3(a)-(d).

3(a). Identify the specific agency or department where you were or are employed:

3(b). Identify the dates of your employment related to your claim:

3(c). Last four digits of your social security number: XXX-XX-9308

Please send the completed form and any supporting documents via email to [PRClaimsInfo@primeclerk.com](mailto:PRClaimsInfo@primeclerk.com), or by mail, hand delivery, or overnight mail to the following address:

Commonwealth of Puerto Rico Supplemental Information Processing Center  
c/o Prime Clerk, LLC  
850 3<sup>rd</sup> Avenue, Suite 412  
Brooklyn, NY 11232

All supplemental information that you provide will be appended to your claim and appear on the official claims register. If you do not respond to this request and do not provide the requested information and documentation in support of your claim, the Debtors may be forced to object to your claim.

**If you have any questions about this letter or your claim, please call: Prime Clerk LLC at (844) 822-9231 (toll free for U.S. and Puerto Rico) or (646) 486-7944 (for international callers), available 10:00 a.m. to 7:00 p.m. (Atlantic Standard Time) (Spanish available), or email [PRClaimsInfo@primeclerk.com](mailto:PRClaimsInfo@primeclerk.com).**

PLEASE NOTE: Prime Clerk, LLC is the claims and noticing agent in the Title III Cases, and cannot provide legal or financial advice.

Thank you,

Prime Clerk, LLC

3(d). What is the nature of your employment claims (select all applicable):

- Pension
  - Unpaid Wages
  - Sick Days
  - Union Grievance
  - Vacation
  - Other (Provide as much detail as possible. Attach additional pages if necessary).
- 
- 

**4. Legal Action. Does your claim relate to a pending or closed legal action?**

- No.
- Yes. **Answer Questions 4(a)-(f).**

4(a). Identify the department or agency that is a party to the action.

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4(b). Identify the name and address of the court or agency where the action is pending:

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4(c). Case number: \_\_\_\_\_

4(d). Title, Caption, or Name of Case: \_\_\_\_\_

4(e). Status of the case (pending, on appeal, or concluded): \_\_\_\_\_

4(f). Do you have an unpaid judgment? Yes / No (Circle one)

If yes, what is the date and amount of the judgment? \_\_\_\_\_

Grand Central Station, PO Box 4708  
New York, NY 10163-4708  
Tel.: (844) 822-9231  
[PRClaimsInfo@primeclerk.com](mailto:PRClaimsInfo@primeclerk.com)

\*\*\* Se requiere respuesta \*\*\*

**ESTA CARTA SE RELACIONA CON UNA EVIDENCIA DE RECLAMACIÓN QUE RADICÓ CONTRA EL GOBIERNO DE PUERTO RICO EN LOS PROCEDIMIENTOS AL AMPARO DE LA LEY DE SUPERVISIÓN, ADMINISTRACIÓN Y ESTABILIDAD ECONÓMICA DE PUERTO RICO.**

**LEA ESTA CARTA CUIDADOSAMENTE Y RESPONDA SEGÚN LAS INSTRUCCIONES QUE SE INDICAN A CONTINUACIÓN. SI USTED NO RESPONDE, LOS DEUDORES PODRÁN TOMAR MEDIDAS LEGALES PARA QUE SU RECLAMACIÓN SEA TOTAL O PARCIALMENTE DESESTIMADA.**

26 de agosto de 2019

Asunto: Evidencia de reclamación en virtud de la ley PROMESA  
*En el caso Estado Libre Asociado de Puerto Rico, Caso No. 17-03283*  
Tribunal de Distrito de los Estados Unidos para el Distrito de Puerto Rico

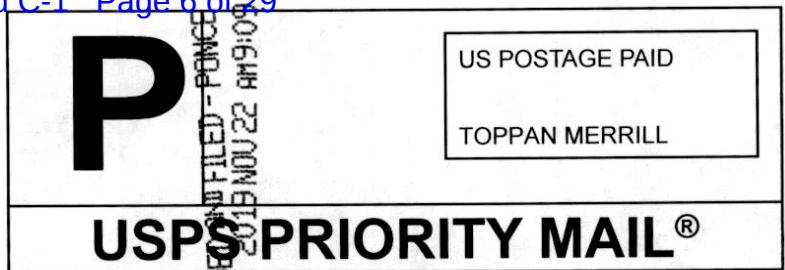
Estimado/a:

Esta carta se relaciona con una evidencia de reclamación que usted radicó en los casos al amparo del Título III (los “Casos del Título III”) contra el Estado Libre Asociado de Puerto Rico, la Autoridad de Carreteras y Transportación de Puerto Rico, o Autoridad de Energía Eléctrica del gobierno del Estado Libre Asociado de Puerto Rico (en conjunto, los “Deudores”). Prime Clerk LLC mantiene el registro oficial de reclamaciones en los Casos al amparo del Título III para el Tribunal de Distrito de los Estados Unidos para el Distrito de Puerto Rico (el “Tribunal”), y se comunica con usted en representación de los Deudores.

Los registros del Deudor reflejan que usted ha radicado una evidencia de reclamación que ha sido anotada por Prime Clerk LLC con el número de Evidencia de Reclamación . Usted puede descargar una copia de su reclamación visitando el sitio web de Prime Clerk en: <https://cases.primeclerk.com/puertorico/Home-ClaimInfo>.

Se requiere información adicional para que los Deudores continúen evaluando su reclamación. Con la información que usted ha proporcionado, los Deudores no pueden determinar los fundamentos, la naturaleza, o la cantidad de la reclamación que usted pretende formular contra uno o más de los Deudores. En respuesta a esta carta, asegúrese de proporcionar toda la información solicitada y todo el detalle posible sobre su reclamación. Las descripciones que incluyó en su evidencia de reclamación son demasiado imprecisas como para que los Deudores comprendan la reclamación que trata de formular; por ese motivo, proporcione más información y no se limite simplemente a copiar la misma información.

PRIME CLERK  
GRAND CENTRAL STATION, PO BOX 4850  
NEW YORK NY 10163-4850



**LEGAL NOTICE ENCLOSED.  
DIRECT TO ATTENTION OF ADDRESSEE  
OR PRESIDENT/GENERAL COUNSEL.**

2019 NOV 26 P 4:25

RECEIVED

\*\*\*CUST PR 1845 SRF 36961 PackID: 337 MMLID: 1482260 SVC: 94th Omni  
De La Haba, Teresa Angelica  
16E Calle Taft #1  
San Juan, PR 00911

Zone 8

**IF YOUR CLAIM IS LISTED HERE, ONE OR MORE OF THE DEBTORS ARE SEEKING TO DISALLOW YOUR CLAIM BECAUSE THEIR RECORDS SHOW THAT YOUR CLAIM IS DEFICIENT.**

NAME	CLAIM #	DATE FILED	DEBTOR	ASSERTED CLAIM AMOUNT
De La Haba, Teresa Angelica	12995	5/14/18	Employees Retirement System of the Government of the Commonwealth of Puerto Rico	\$0.00
<b>Reason:</b>	Proof of claim purports to assert liabilities associated with the Employees Retirement System of the Government of the Commonwealth of Puerto Rico, but fails to provide any basis or supporting documentation for asserting a claim against the Employees Retirement System of the Government of the Commonwealth of Puerto Rico, such that the Debtors are unable to determine whether claimant has a valid claim against the Employees Retirement System of the Government of the Commonwealth of Puerto Rico or any of the other Title III debtors.			

**SI SU RECLAMO ESTÁ INCLUIDO AQUÍ, UNO O MÁS DE LOS DEUDORES SOLICITAN QUE SU RECLAMO SEA RECHAZADO, PUESTO QUE LOS DATOS INDICAN QUE SU RECLAMO ES DEFICIENTE.**

NOMBRE	N.º DE RECLAMACIÓN	FECHA DE PRESENTACIÓN	DEUDOR	MONTO DE LA RECLAMACIÓN ALEGADA
De La Haba, Teresa Angelica	12995	5/14/18	Employees Retirement System of the Government of the Commonwealth of Puerto Rico	\$0.00
<b>Base para:</b>	La evidencia de reclamación tiene la intención de formular las responsabilidades asociadas con el Sistema de Retiro de los Empleados del Gobierno del Estado Libre Asociado de Puerto Rico, pero no proporciona los fundamentos ni la documentación de respaldo para formular una reclamación contra dicho sistema, de manera que los Deudores no pueden determinar si el reclamante tiene una reclamación válida contra el Sistema de Retiro de los Empleados del Gobierno del Estado Libre Asociado de Puerto Rico o cualquiera de los otros deudores en virtud del Título III.			

Copies of the Omnibus Objection and all other filings in the Title III Cases are available free online at <https://cases.primeclerk.com/puertorico>. **If you have questions, please contact Prime Clerk LLC at (844) 822-9231 (toll free for U.S. and Puerto Rico) or (646) 486-7944 (for international callers), available 10:00 a.m. to 7:00 p.m. (Atlantic Standard Time) (Spanish available).**

Copias de la Objeción global, y todos los escritos radicados en el marco de las causas conforme al Título III, están disponibles, de manera gratuita, en <https://cases.primeclerk.com/puertorico>. **Si tiene alguna pregunta, comuníquese con Prime Clerk LLC llamando al (844) 822-9231 (número gratuito para Estados Unidos y Puerto Rico) o (646) 486-7944 (para llamadas desde el extranjero), disponible entre las 10:00 a.m. y las 07:00 p.m. (AST) (hablamos español).**



UBS Financial Services  
Incorporated of Puerto Rico  
250 Munoz Rivera Avenue, Ph FL  
San Juan PR 00918-9998

APZ6000041927 1019 L1 0

# Resource Management Account

October 2019

## Your Financial Advisor:

DARIO SUAREZ

Phone: 787-250-3600/800-221-9825

## Questions about your statement?

Call your Financial Advisor or the  
RMA ResourceLine at 800-RMA-1000,  
account 247003192.

## Visit our website:

[www.ubs.com/financialservices](http://www.ubs.com/financialservices)

## Your investment objectives:

You have identified the following  
investment objectives for this account. If

you have questions about these  
objectives, disagree with them, or wish to  
change them, please contact your  
Financial Advisor or Branch Manager. You  
can find a full description of the  
alternative investment objectives in  
*Important information about your  
statement* at the end of this document.

## Your return objective:

Current income & capital appreciation

## Your risk profile:

Primary - Conservative

Investment eligibility consideration - None  
selected

## Value of your account

	on September 30 (\$)	on October 31 (\$)
Your assets	668,697.15	678,017.13
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$668,697.15</b>	<b>\$678,017.13</b>
Accrued interest in value above	\$566.78	\$683.86

As a service to you, your portfolio value of  
\$678,017.13 includes accrued interest.

## Your account instructions

- Your account cost basis default closing method is FIFO, First In, First Out.

## Change in the value of your account

	October 2019 (\$)	Year to date (\$)
<b>Opening account value</b>	<b>\$668,697.15</b>	<b>\$559,667.43</b>
Withdrawals and fees, including investments transferred out	-72.15	-492.53
Dividend and interest income	1,259.33	14,297.18
Change in value of accrued interest	117.08	303.03
Change in market value	8,015.72	104,242.02
<b>Closing account value</b>	<b>\$678,017.13</b>	<b>\$678,017.13</b>



Resource Management Account  
October 2019

Account name: TERESA A. DE LA HABA AND  
Account number: L1 03192 DS

Your Financial Advisor:  
DARIO SUAREZ  
787-250-3600/800-221-9825

## Cash activity summary

See Account activity this month for details. Balances in your Sweep Options are included in the opening and closing balances value. FDIC insurance applies to deposits at UBS Bank USA and all banks participating in the UBS FDIC Insured Deposit Program. It does not apply to deposits at UBS AG, Stamford Branch. SIPC protection applies to money market sweep fund holdings but not bank deposits. See Important information about your statement on the last two pages of this document for details.

	October 2019 (\$)	Year to date (\$)
<b>Opening balances</b>	<b>\$148,204.73</b>	<b>\$185,422.65</b>
<i>Additions</i>		
Dividend and interest income	1,259.33	14,297.18
Proceeds from investment transactions	0.00	51,222.78
<b>Total additions</b>	<b>\$1,259.33</b>	<b>\$65,519.96</b>
<i>Subtractions</i>		
Other funds debited	-72.15	-492.53
Funds withdrawn for investments bought	-131.82	-101,189.99
<b>Total subtractions</b>	<b>-\$203.97</b>	<b>-\$101,682.52</b>
<b>Net cash flow</b>	<b>\$1,055.36</b>	<b>-\$36,162.56</b>
<b>Closing balances</b>	<b>\$149,260.09</b>	<b>\$149,260.09</b>

## Dividend and interest income earned

For purposes of this statement, taxability of interest and dividend income has been determined from a US tax reporting perspective. Based upon the residence of the account holder, account type, or product type, some interest and/or dividend payments may not be subject to United States (US) and/or Puerto Rico (PR) income taxes. The client monthly statement is not intended to be used and cannot be relied upon for tax purposes. Clients should refer to the applicable tax reporting forms they receive from UBS annually, such as the Forms 1099 and the Forms 480, for tax reporting information. It is the practice of UBS to file the applicable tax reporting forms with the US Internal Revenue Service and PR Treasury Department, and in such forms accurately classify dividends and/or interest as tax exempt or taxable income. Please consult your individual tax preparer.

	October 2019 (\$)	Year to date (\$)
Taxable dividends	273.94	1,212.93
Long-term capital gains	0.00	-131.69
Tax-exempt dividends	293.99	4,880.14
Taxable interest	310.57	3,105.70
Tax-exempt interest	380.83	5,177.59
<b>Total current year</b>	<b>\$1,259.33</b>	<b>\$14,244.67</b>
Prior year adjustment	0.00	52.51
<b>Total dividend &amp; interest</b>	<b>\$1,259.33</b>	<b>\$14,297.18</b>

## Summary of gains and losses

Values reported below exclude products for which gains and losses are not classified.

	Realized gains and losses		Unrealized
	October 2019 (\$)	Year to date (\$)	gains and losses (\$)
Short term	0.00	47.60	11,859.09
Long term	0.00	-27,487.91	-280,700.91
<b>Total</b>	<b>\$0.00</b>	<b>-\$27,440.31</b>	<b>-\$268,841.82</b>

## Withholdings and tax summary

	October 2019 (\$)	Year to date (\$)
Puerto Rico taxes paid	-72.15	-492.53



Resource Management Account  
October 2019

Account name: TERESA A. DE LA HABA AND  
Account number: L1 03192 DS

Your Financial Advisor:  
DARIO SUAREZ  
787-250-3600/800-221-9825

## Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

### Cash

#### Cash and money balances

Holding	Opening balance on Oct 1 (\$)	Closing balance on Oct 31 (\$)	Price per share on Oct 31 (\$)	Average rate	Dividend/Interest period	Days in period
PR SHORT TERM INV FUND	148,204.73	149,260.09	1.00	1.07%	Sep 24 to Oct 24	31

### Equities

#### Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Oct 31 (\$)	Value on Oct 31 (\$)	Unrealized gain or loss (\$)	Holding period
<b>POPULAR INC</b>								
Symbol: BPOP Exchange: OTC								
EAI: \$960 Current yield: 2.20%	Jan 31, 06	199.985	203.558	40,708.80	54.460	10,891.20	-29,817.60	LT
	May 9, 06	100.000	204.079	20,407.98	54.460	5,446.00	-14,961.98	LT
	Jan 3, 08	4.215	102.500	432.00	54.460	229.53	-202.47	LT
	Jul 14, 08	200.000	59.026	11,805.25	54.460	10,892.00	-913.25	LT
	Oct 1, 08	200.000	89.726	17,945.25	54.460	10,892.00	-7,053.25	LT
	Jan 28, 09	40.000	33.118	1,324.75	54.460	2,178.40	853.65	LT
	Feb 20, 09	55.800	17.514	977.29	54.460	3,038.87	2,061.58	LT
Security total		800.000	117.002	93,601.32		43,568.00	-50,033.32	



Resource Management Account  
October 2019

Account name: TERESA A. DE LA HABA AND  
Account number: L1 03192 DS

Your Financial Advisor:  
DARIO SUAREZ  
787-250-3600/800-221-9825

## Your assets (continued)

### Fixed income

#### Municipal securities

Prices are obtained from independent quotation bureaus that use computerized valuation formulas to calculate current values. Actual market values may vary and thus gains/losses may not be accurately reflected. Cost basis has been automatically adjusted for mandatory amortization of bond premium on coupon tax-exempt municipal securities using the constant yield method and for accreted original issue

discount for securities issued at a discount. When original cost basis is displayed, amortization has been done using the constant yield method, otherwise amortization has been done using the straight line method.

Holding	Trade date	Total face value at maturity (\$)	Purchase price(\$)	Adjusted cost basis (\$)	Price on Oct 31 (\$)	Value on Oct 31 (\$)	Unrealized gain or loss (\$)	Holding period
PUERTO RICO COMWLTH INDL								
RV BE/R/								
DEFAULTED								
RATE 05.200% MATURES 07/01/23								
CALLABLE 11/01/19 @ 100.00								
CUSIP 745211LH3								
Moody: C S&P: Not rated	Jul 29, 03	15,000.000	100.000	15,000.00	93.000	13,950.00	-1,050.00	LT
PUERTO RICO COMWLTH PUB								
2008C BE/R/								
DEFAULTED								
RATE 05.700% MATURES 07/01/23								
CALLABLE 11/01/19 @ 100.00								
CUSIP 74514LST5								
Moody: Ca S&P: Not rated								
Original cost basis: \$100,005.25	Apr 28, 08	100,000.000	100.001	100,001.71	74.500	74,500.00	-25,501.71	LT
	Oct 07, 08	50,000.000	100.000	50,000.00	74.500	37,250.00	-12,750.00	LT
Security total		150,000.000		150,001.71		111,750.00	-38,251.71	
PUERTO RICO PUB BLDGS AU								
TAX SR R RV BE/R/								
DEFAULTED								
RATE 05.650% MATURES 07/01/28								
CUSIP 745235M57								
Moody: Ca S&P: Not rated	Aug 11, 11	50,000.000	100.000	50,000.00	79.000	39,500.00	-10,500.00	LT

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Resource Management Account  
October 2019

Account name: TERESA A. DE LA HABA AND  
Account number: L1 03192 DS

Your Financial Advisor:  
DARIO SUAREZ  
787-250-3600/800-221-9825

Your assets › Fixed income › Municipal securities (continued)

Holding	Trade date	Total face value at maturity (\$)	Purchase price(\$)	Adjusted cost basis (\$)	Price on Oct 31 (\$)	Value on Oct 31 (\$)	Unrealized gain or loss (\$)	Holding period
PR ACUEDUCT SEWER AUTH P								
SR B RV BE/R/								
RATE 06.100% MATURES 07/01/34								
CALLABLE 11/01/19 @ 100.00								
ACCRUED INTEREST \$203.33								
CUSIP 745160PR6								
Moody: Ca S&P: Not rated								
EAI: \$2,440 Current yield: 6.67%								
Original cost basis: \$40,005.25	Mar 10, 08	40,000.000	100.012	40,004.81	91.500	36,600.00	-3,404.81	LT
PR INDL TOURST EDL MED&								
TAX RV OID98.233 BE/R/								
RATE 07.100% MATURES 04/01/38								
CALLABLE 04/01/21 @ 102.00								
ACCRUED INTEREST \$177.50								
CUSIP 74527BUAO								
Moody: Not rated S&P: Not rated								
EAI: \$2,130 Current yield: 7.16%	Mar 24, 11	30,000.000	98.224	29,467.20	99.125	29,737.50	270.30	LT
EMPLOYEES RETIREMENT SYS								
RV BE/R/								
DEFAULTED								
RATE 06.150% MATURES 07/01/38								
CALLABLE 11/01/19 @ 100.00								
CUSIP 29216MAC4								
Moody: C S&P: Not rated								
Original cost basis: \$100,005.25	Sep 23, 08	100,000.000	100.004	100,004.27	44.000	44,000.00	-56,004.27	LT
	Jun 14, 12	50,000.000	96.760	48,380.25	44.000	22,000.00	-26,380.25	LT
	Aug 06, 12	50,000.000	96.235	48,117.75	44.000	22,000.00	-26,117.75	LT
Security total		200,000.000		196,502.27		88,000.00	-108,502.27	
PUERTO RICO SALES								
A-2 RV BE/R/								
RATE 04.329% MATURES 07/01/40								
DATED DATE 08/01/19								
CALLABLE 07/01/28 @ 100.00								
ACCRUED INTEREST \$303.03								
CUSIP 74529RJ6								
EAI: \$1,212 Current yield: 4.27%	Feb 11, 19	28,000.000	76.412	21,395.45	101.499	28,419.72	7,024.27	ST
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Resource Management Account  
October 2019

Account name: TERESA A. DE LA HABA AND  
Account number: L1 03192 DS

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DARIO SUAREZ  
787-250-3600/800-221-9825

### Your assets › Fixed income › Municipal securities (continued)

Holding	Trade date	Total face value at maturity (\$)	Purchase price(\$)	Adjusted cost basis (\$)	Price on Oct 31 (\$)	Value on Oct 31 (\$)	Unrealized gain or loss (\$)	Holding period
<b>Total</b>		<b>\$513,000.00</b>		<b>\$502,371.44</b>		<b>\$347,957.22</b>	<b>-\$154,414.22</b>	

**Total accrued interest: \$683.86**

**Total estimated annual income: \$5,782**

### Closed end funds & Exchange traded products

If any of the closed end funds you hold are advised or co-advised by UBS Asset Managers of Puerto Rico, please note that the price per share information listed below reflects either (1) the bid price for the shares of the funds as of the closing date of this statement (the "bid price") as determined by UBS Financial Services Incorporated of Puerto Rico (UBSFSPR) or (2) in the absence of a bid price, the indicative price reflecting UBSFSPR's best estimate of the price at which UBSFSPR would bid if it were to make a firm bid at the time. The price per share shown in this statement may be higher or lower than the NAV of the funds on the same date.

**Total reinvested** is the total of all reinvested dividends. It does not include any cash dividends. It is not a tax lot for the purposes of determining holding periods or cost basis. The shares you receive each time you reinvest dividends become a separate tax lot.

**Cost basis** is the total purchase cost of the security, including reinvested dividends. The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes.

In addition, the price per share listed here may be higher or lower than the last price at which the funds traded as of the closing date of this statement and the price at which the funds may have traded on any date subsequent to the closing date of this statement. Additional information, including prospectuses, an informative brochure and recent NAVs for closed end funds managed or co-managed by UBS Asset Managers of Puerto Rico can be found at [www.ubs.com/prfunds](http://www.ubs.com/prfunds).

**Unrealized (tax) gain or loss** is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date. The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes.

**Investment return** is the current value minus the amount you invested. It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss. It also does not include cash dividends that were not reinvested.

Holding	Number of shares	Purchase price/ Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Oct 31 (\$)	Value on Oct 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
<b>TAX FREE PUERTO RICO FUND II</b>									
<b>INC</b>									
Trade date: Aug 6, 12	10,330,000	9.650	99,689.75	99,689.75	1.980	20,453.40	-79,236.35	-79,236.35	LT
EAI: \$310 Current yield: 1.52%									

### Mutual funds

**Total reinvested** is the total of all reinvested dividends. It does not include any cash dividends. It is not a tax lot for the purposes of determining holding periods or cost basis. The shares you receive each time you reinvest dividends become a separate tax lot.

**Cost basis** is the total purchase cost of the security, including reinvested dividends. The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes.

**Unrealized (tax) gain or loss** is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date. The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes.

**Investment return** is the current value minus the amount you invested. It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss. It also does not include cash dividends that were not reinvested.

Holding	Number of shares	Purchase price/ Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Oct 31 (\$)	Value on Oct 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
<b>U.S MUNICIPAL &amp; INCOME</b>									
<b>FUND INC CLASS A</b>									

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Resource Management Account  
October 2019

Account name: TERESA A. DE LA HABA AND  
Account number: L1 03192 DS

Your Financial Advisor:  
DARIO SUAREZ  
787-250-3600/800-221-9825

Your assets › Fixed income › Mutual funds (continued)

Holding	Number of shares	Purchase price/ Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Oct 31 (\$)	Value on Oct 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
Trade date: Jan 7, 19	4,812,320	10.389	50,000.00	50,000.00	11.380	54,764.20	4,764.20		ST
Total reinvested	110,313	10.739		1,184.74	11.380	1,255.36	70.62		
EAI: \$1,934 Current yield: 3.45%									
Security total	4,922,633	10.398	50,000.00	51,184.74		56,019.56	4,834.82	6,019.56	

Preferred securities

Holding	Trade date	Number of shares	Purchase price per share (\$)	Cost basis (\$)	Price per share on Oct 31 (\$)	Value on Oct 31 (\$)	Unrealized gain or loss (\$)	Holding period
POPULAR CAP TR I								
6.700%								
DUE 11/01/33 CALLABLE								
Symbol: BPOPN Exchange: OTC								
EAI: \$3,727 Current yield: 6.20%	Oct 8, 08	2,225.000	22.502	50,067.75	27.000	60,075.00	10,007.25	LT

Your total assets

		Value on Oct 31 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
<b>Cash</b>	<b>Cash and money balances</b>	<b>149,260.09</b>	<b>22.01%</b>	<b>149,260.09</b>		
<b>Equities</b>	<b>Common stock</b>	<b>43,568.00</b>	<b>6.43%</b>	<b>93,601.32</b>	<b>960.00</b>	<b>-50,033.32</b>
<b>Fixed income</b>	Municipal securities	347,957.22		502,371.44	5,782.00	-154,414.22
	Closed end funds & Exchange traded products	20,453.40		99,689.75	310.00	-79,236.35
	Mutual funds	56,019.56		51,184.74	1,934.00	4,834.82
	Preferred securities	60,075.00		50,067.75	3,727.00	10,007.25
	Total accrued interest	683.86				
	<b>Total fixed income</b>	<b>485,189.04</b>	<b>71.56%</b>	<b>703,313.68</b>	<b>11,753.00</b>	<b>-218,808.50</b>
<b>Total</b>		<b>\$678,017.13</b>	<b>100.00%</b>	<b>\$946,175.09</b>	<b>\$12,713.00</b>	<b>-\$268,841.82</b>



Resource Management Account  
October 2019

Account name: TERESA A. DE LA HABA AND  
Account number: L1 03192 DS

Your Financial Advisor:  
DARIO SUAREZ  
787-250-3600/800-221-9825

## Account activity this month

	Date	Activity	Description	Amount (\$)			
<b>Dividend and interest income</b>							
Taxable dividends	Oct 1	Puerto Rico	POPULAR INC PAID ON 800 Dividend SYMBOL: BPOP	240.00			
	Oct 14	Puerto Rico	U S MUNICIPAL & INCOME FUND INC CLASS A AS OF 10/01/19 Dividend	33.94			
	<b>Total taxable dividends</b>			<b>\$273.94</b>			
Tax-exempt dividends	Oct 10	Puerto Rico	TAX FREE PUERTO RICO FUND II INC Dividend	25.83			
	Oct 16	Puerto Rico	U S MUNICIPAL & INCOME FUND INC CLASS A AS OF 10/01/19 Dividend	131.82			
	Oct 25	Dividend	PUERTO RICO SHORT TERM INVESTMENT FUND INC AS OF 10/24/19	136.34			
	<b>Total tax-exempt dividends</b>			<b>\$293.99</b>			
Taxable interest	Oct 1	Puerto Rico	POPULAR CAP TR I 6.700% DUE 11/01/33 CALLABLE Interest CUSIP: 73317W203 / SYMBOL: BPOPN	310.57			
	<b>Total taxable interest</b>			<b>\$310.57</b>			
Tax-exempt interest	Oct 1	Interest	PR ACUEDUCT SEWER AUTH P SR B RV CALLABLE PAID ON 40000 CUSIP: 745160PR6	203.33			
	Oct 2	Interest	PR INDL TOURST EDL MED& TAX RV OID98.233 BE/R/7.1 040138 DTD 033011 CALLABLE PAID ON 30000AS OF 10/01/19 CUSIP: 74527BUAO	177.50			
	<b>Total tax-exempt interest</b>			<b>\$380.83</b>			
<b>Total dividend and interest income</b>				<b>\$1,259.33</b>			
	Date	Activity	Description	Amount (\$)			
Other funds debited	Oct 1	Puerto Rico	POPULAR CAP TR I 6.700% DUE 11/01/33 CALLABLE	-31.06			
		Tax Withheld	CUSIP: 73317W203 / SYMBOL: BPOPN				
	Oct 1	Puerto Rico	POPULAR INC	-36.00			
		Tax Withheld	SYMBOL: BPOP				
	Oct 15	Puerto Rico	U S MUNICIPAL & INCOME FUND INC CLASS A AS OF 10/01/19 Tax Withheld	-5.09			
	<b>Total other funds debited</b>			<b>-\$72.15</b>			



Resource Management Account  
October 2019

Account name: TERESA A. DE LA HABA AND  
Account number: L1 03192 DS

Your Financial Advisor:  
DARIO SUAREZ  
787-250-3600/800-221-9825

### Account activity this month (continued)

#### Investment transactions

For more information about the price/value shown for restricted securities, see *Important information about your statement* at the end of this document.

Date	Activity	Description	Quantity	Value (\$)	Price (\$)	Proceeds from investment transactions (\$)	Funds withdrawn for investments bought (\$)	Accrued interest (\$)
Oct 16	Reinvestment	U S MUNICIPAL & INCOME FUND INC CLASS A AS OF 10/01/19	0.473					
Oct 16	Reinvestment	U S MUNICIPAL & INCOME FUND INC CLASS A AS OF 10/01/19	11.000				-131.82	
<b>Total</b>								<b>-\$131.82</b>

Money balance activities	Date	Activity	Description	Amount (\$)
	<b>Sep 30</b>		<b>Balance forward</b>	<b>\$148,204.73</b>
	Oct 2	Bought	P.R. SHORT TERM INV. FUND INC	686.84
	Oct 3	Bought	P.R. SHORT TERM INV. FUND INC	177.50
	Oct 11	Bought	P.R. SHORT TERM INV. FUND INC	25.83
	Oct 15	Bought	P.R. SHORT TERM INV. FUND INC	33.94
	Oct 16	Sold	P.R. SHORT TERM INV. FUND INC AS OF 10/15/19	-5.09
	Oct 25	Bought	P.R. SHORT TERM INV. FUND INC AS OF 10/24/19	136.34
	<b>Oct 31</b>		<b>Closing Tax-Free Puerto Rico Daily Fund</b>	<b>\$149,260.09</b>

The Puerto Rico Short Term Investment Fund is your primary sweep option.



Your notes

## Important information about your statement

UBS Financial Services Inc. (the Firm or UBS Financial Services), is a member of all principal security, commodity and options exchanges. UBS Financial Services and UBS Bank USA are indirect subsidiaries of UBS AG and affiliates of UBS Securities LLC. The Firm's financial statement is available upon request. The Firm's executive offices are at:

UBS Financial Services Inc.  
1200 Harbor Boulevard  
Weehawken, NJ 07086

This statement represents the only official record of your UBS Financial Services account. Other records, except official tax documents, containing conflicting data should not be relied upon. If you believe there is an error or omission, please report it immediately in writing to the Branch Manager of the office serving your account.

Although all figures shown are intended to be accurate, statement data should not be used for tax purposes. Rely solely on year-end tax forms, (i.e., Form 1099, 5498, 1042s, etc.) when preparing your tax return. The Firm is required by law to report to the IRS all taxable dividends, reportable non-taxable dividends and taxable interest earned on securities held in your account, net proceeds on sale transactions, and cost basis on certain covered securities.

### Communications with the Firm

- Please re-confirm any oral communications in writing to further protect your rights, including your rights under the Securities Investor Protection Act (SIPA).
- If the financial institution on the top left of the front of this statement is not UBS Financial Services, UBS Financial Services carries your account as clearing broker by arrangement with the indicated institution. We informed you of this relationship when you opened this account. In this case, your funds and securities are located at UBS Financial Services and not the introducing broker, and you must make a report of any error or omission to **both** firms.
- As described in the account agreements, you must notify us of any errors or fraud involving checks reflected on your statement within 30 days after it was mailed or made available.
- Please direct customer complaints or inquiries to the Firm's Client Relations Department at 201-352-1699 or toll-free at 800-354-9103, 8:00 A.M. to 6:00 P.M. ET Monday through Friday, or in writing to UBS Financial Services Inc., Client Relations Department, P.O. Box 766 Union City, NJ 07087.
- All statements shall be deemed complete and accurate if not objected to in writing within 60 days.
- For TTY services: Call 844-612-0986 or from outside the U.S.: Call 201-352-1495
- In case of errors or questions about an electronic funds transfer (EFT), bill payment or UBS Visa® debit card transactions, call 800-762-1000, or write to UBS Financial Services Inc., 1000 Harbor Blvd., 6th floor, Weehawken, NJ 07086, Attn: RMA/BSA Services.

Call or write as soon as you can, if you think your statement or receipt is wrong or if you need more information about a transfer on the statement or receipt. The Firm or Card Issuer (as applicable) must

hear from you no later than 60 days after the Firm sent you the first statement on which the error or problem appeared.

- Provide your name and account number (if any).
- Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
- Provide the dollar amount of the suspected error.

The Firm or Card Issuer will investigate your complaint and will correct any error promptly. For alleged errors involving UBS Visa® debit card transactions, if we take more than 10 business days to do this, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes us to complete our investigation.

Please make all checks payable to the Firm or the financial institution indicated on the front of this statement. In addition to regular account fees, accounts may be subject to maintenance fees, charges for late payment for securities purchases and charges for unpaid amounts in cash accounts. Accounts that are transferred to other institutions may be subject to a transfer fee.

### UBS Sweep Options

UBS offers options for sweeping cash balances to bank deposit accounts at non-affiliated banks and affiliated banks and money market mutual funds (Money Funds). Deposit accounts at UBS Bank USA and non-affiliated banks participating in the UBS FDIC-Insured Deposit Program are FDIC-insured in accordance with FDIC rules. For more information, please visit [www.fdic.gov](http://www.fdic.gov). Deposit accounts at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Bank deposits are not protected by SIPC. Money Fund shares are protected by SIPC. See "UBS Financial Services Account Protection" below.

Upon your request, balances in the bank deposits may be withdrawn, and shares of a Money Fund may be liquidated, and the proceeds returned to you or your securities account.

Further information about available sweep options, including current interest rates and yields, is available at [www.ubs.com/sweeypyields](http://www.ubs.com/sweeypyields), from your Financial Advisor or by calling 800-762-1000.

### UBS Financial Services account protection

The Firm is a member of the Securities Investor Protection Corporation (SIPC), which protects securities customers of its members up to \$500,000 (including \$250,000 for claims for cash). Explanatory brochure available upon request or at [www.sipc.org](http://www.sipc.org). The SIPC asset protection limits apply to all accounts that you hold in a particular capacity.

The Firm, together with certain affiliates, has also purchased supplemental insurance. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2016. Subject to the policy conditions and limitations, cash at the Firm is further protected for up to \$1.9 million in the aggregate for all your accounts held in a particular

capacity. A full copy of the policy wording is available upon request.

Neither the SIPC protection nor the supplemental protection apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services. For example certain (i) insurance products, including variable annuities, and (ii) shares of mutual funds registered in the name of the account holder on the books of the issuer or transfer agent;
- Investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933;
- Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts; and
- Deposit accounts (except certificates of deposit) at UBS Bank USA, UBS AG U.S. branches and banks in the FDIC Insured Deposit Program.

The SIPC protection and the supplemental protection do not apply to these assets even if they otherwise appear on your statements. The SIPC protection and the supplemental protection do not protect against changes in the market value of your investments (whether as a result of market movement, issuer bankruptcy or otherwise).

### Dividend Reinvestment Program (DRIP)

The price reflected is an average price. You may obtain the actual price from your Financial Advisor. Only whole shares are purchased under DRIP; partial shares will be sold and the cash will be deposited in your account. The dividend reinvestment price supplied by the issuer may differ from the market price at which the partial shares are sold.

### Cash-in-lieu

Only whole units may be held in your account. If you are entitled to a partial unit as a result of a dividend payment or otherwise, the Firm will either sell partial units at market price or accept an amount determined by a registered clearing agency, and credit your account.

### Investment objectives

The investment objectives and risk profile are specific to each account and may vary between your accounts. Please advise the Firm promptly in writing of any significant change in your financial situation or investment objectives. For each account held, you choose one of the following investment objectives:

- **Produce Current Income:** Investments seeking the generation of income only.
- **Achieve Capital Appreciation:** Investments seeking growth of principal rather than the generation of income.
- **Produce Combination of Income and Capital Appreciation:** Investments seeking both the generation of income and growth of principal.

### Overall risk profiles

- **Conservative:** Seeks to maintain initial principal, with low risk and volatility to the account overall, even if that means the account does not generate significant

income or returns and may not keep pace with inflation.

- **Moderate:** Willing to accept some risk to principal and tolerate some volatility to seek higher returns.
- **Aggressive:** Willing to accept high risk to principal and high volatility to seek high returns over time.
- **Investment Eligibility Consideration:** If selected, a portion of the portfolio for that account may include complex strategies, limited liquidity and greater volatility.

### Statement "householding"

We may consolidate all related account statements with the same address in the same envelope, e.g. because they have owners who also maintain joint account relationships with other clients at the same address. If you prefer to receive individual statements mailed in separate envelopes, you may decline householding by calling your Financial Advisor.

### Friendly account name

The Friendly account name is a customizable "nickname" chosen by you to assist you with your recordkeeping. It has no legal effect on your account, is not intended to reflect any strategy, product, recommendation, investment objective or risk profile associated with your accounts, and is not a promise or guarantee that wealth, or any financial results, can or will be achieved. All investments involve the risk of loss, including the risk of loss of the entire investment. You can change your Friendly account names through Online Services or by contacting your Financial Advisor.

### Account overview

- **Value of your account/portfolio:** Net of assets and liabilities.
- **Assets:** Includes available cash balances, values for restricted security (est.), and Global Time Deposits, unrealized marks to market, and certain assets not held by the Firm. Does not include unpriced securities/assets at the end of the prior and current statement periods, or private investments, unvested stock options and exercisable stock options.
- **Liabilities:** Includes debit balances, outstanding margin loans, credit line, short account balances.
- **Cash/money balances:** Total of uninvested available cash balances, plus deposit balances at affiliated and non-affiliated banks, and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

### Lending information

For detailed information on the Firm's lending practices and disclosures, refer to your Client Relationship Agreement or Account Agreement and the General Terms and Conditions. UBS Statement of Credit Practices available in Agreements and Disclosures at [www.ubs.com/accountdisclosures](http://www.ubs.com/accountdisclosures).

## Important information about your statement (continued)

### Your assets

Your statement itemizes securities and other assets held in the account at the end of the statement period. You may ask for delivery of fully paid securities at any time. You may receive securities used as loan collateral after paying any balance due on them. Any securities transferred to the Firm during the statement period are listed at market value as of the end of the statement period.

• **Cost basis.** In determining the cost basis of the securities included in this statement, where indicated with the number "1," UBS Financial Services has relied on information obtained from sources other than UBS Financial Services, including information from another firm or that you may have provided to your Financial Advisor. The Firm does not independently verify or guarantee the accuracy or validity of any information provided by sources other than UBS Financial Services. In addition, although UBS Financial Services generally updates this information as it is received, the Firm does not provide any assurances that the information under "Cost basis" and "Unrealized gain/loss" is accurate as of the date of this statement. As such, please do not rely on this information to make purchase or sale decisions, for tax purposes or otherwise. Accounts transferred to the Firm may reflect gain/loss information only for the period of time they are held at the Firm. More historical information can be added by your Financial Advisor.

• **Unrealized gains/losses.** When data is available, estimated unrealized gains/losses are calculated for individual security lots. The transaction data for individual lots may or may not reflect commissions, charges and/or security reorganization events. Dividend and other reinvestment lots and systematic purchase lots are each combined to display one averaged lot. The "Trade date" column presents the original transaction trade date.

• **Callable securities.** Bonds and preferred stock that the issuer calls for early redemption will be selected impartially by lot from among all securities of that issue held in our name or in nominee name for our clients. Call feature information is obtained from third parties and its accuracy is not guaranteed. Other call features may exist which could affect yield; complete information will be provided upon request.

• **Price/value.** Prices displayed for securities and other products may be higher or lower than the price that you would actually receive in the market. Prices are obtained from various third party sources which we believe to be reliable, but we do not guarantee their accuracy.

– We generally use the closing price when available or the mean of the bid and ask prices for listed securities and options or only bid prices for OTC securities.

– Less actively traded securities may be priced using a valuation model or the most recent price we obtained and may not reflect an actual market price or value.

– Certain positions may appear without a price and will show as "price was not available" if we are unable to obtain a price for a security.

– Deposits or securities denominated in currencies other than U.S. dollars are reflected at the exchange rate as of the statement date.

– For certain securities trading in non-conforming denominations, price and quantity (face value) may have been adjusted to facilitate proper valuation. To obtain current quotations, when available, contact your Financial Advisor.

### • Private investments and structured products.

Private investment securities (including direct participation program and real estate investment trust securities) and structured products are generally highly illiquid. Certain structured products have not been registered with the Securities and Exchange Commission or under any state securities laws. We provide estimated values for private investment securities and structured products for informational purposes only. Accuracy is not guaranteed.

– These values may differ substantially from prices, if any, at which a private investment security or structured product may be bought or sold and do not necessarily represent the value you may receive upon liquidation.

– Third party estimates of value are as of a certain date and are supplied to UBS Financial Services on a regular basis by an independent valuation firm.

– Issuer, general partner or sponsor estimated values, if any, are supplied to the Firm by the issuer, general partner or sponsor and may be calculated based on different information from that used by third parties to derive their estimated values.

– You can obtain additional information regarding the methodology used to determine the estimate of value and the date of the information that is the basis for the estimate by contacting your Financial Advisor.

– Third party estimated values may be reflected as "Not priced" in several situations: when an independent valuation firm has not supplied or is unable to assign a value, when we become aware that a material event has occurred that may call a previously reported value into question, or when a value would be highly speculative due to the nature of the security.

– When neither an issuer, general partner or sponsor estimated value nor a third-party estimated value is provided, the value of the security will be different from its purchase price.

– "Distributions to date" may include return of capital, income or both.

– "Original unit size" represents the initial offering price per unit and may not reflect your cost basis.

– DPP and unlisted REIT securities are not listed on a national securities exchange, and are generally illiquid and even if they can be sold, the price received may be less than the per share estimated value provided in the account statement.

• **Restricted securities.** Restricted securities generally are not currently eligible for public sale. UBS Financial Services uses the market price of the unrestricted stock of the same issuer as an imputed value for the restricted stock for purposes of this statement only. To the extent that restricted securities are eligible for sale, the value received may be substantially less than the imputed value shown.

### • Est. (estimated) income, current yields and rates.

An estimate of annual income is based on current dividend and interest rates, assuming the securities will be held for one year from statement date or until maturity. This estimate is only a guideline; accuracy and continued income are not guaranteed.

– Estimated annual income and current yield for certain types of securities could include a return of principal or capital gains in which case the est. income (and current yield) would be overstated.

– Estimated annual income and current yield and the actual income and yield might be lower or higher than the estimated amounts.

– An estimate of annualized income (dividend and/or interest) divided by the current market value/average balance is based on the last dividend or interest payment made by the issuer and assumes the securities/deposits will be held for one year from the statement date or until maturity. Accuracy and continued yield are not guaranteed.

• **Assets not held by UBS Financial Services.** Certain assets are not held by the Firm and not within the Firm's possession or control. These assets are displayed on your statement for informational purposes only. Positions and values presented are provided by the issuing firm. UBS Financial Services is not responsible for this information and does not guarantee its accuracy. These assets are not protected by SIPC or the Firm's supplemental SIPC coverage.

### • Revenue sharing and additional compensation.

– In addition to commissions on sales and 12b-1 fees received in connection with the distribution of mutual funds to our clients we and/or our affiliate receive revenue sharing payments from distributors and/or advisors of the mutual funds that we sell. These amounts are based on two different components: (i) the amount of sales by UBS of a particular mutual fund family to our clients; and (ii) the asset value of a particular mutual fund family's shares held at the firm.

– We and our affiliate also receive networking and omnibus processing fees in consideration for transfer agent services that we provide to the mutual funds. These fees generally are paid from investor assets in the mutual fund and are a fixed dollar amount based on the number of accounts at the broker-dealer holding mutual funds of that fund family.

– In addition to commissions received in connection with the sale or distribution of annuity contracts and unit investment trust units to our clients, we and/or our affiliate receive revenue sharing compensation from many of the insurance companies underwriting the annuity contracts, affiliates of the insurance companies or sponsors of the unit investment trusts we distribute.

– In addition to commissions received from the purchase and sale of NextShares funds, we and/or our affiliate receive an asset-based revenue sharing payment from NextShares distributors, as well as funding for technology development, training and education.

– Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.

– We receive compensation from UBS Bank USA, UBS AG Stamford Branch and non-affiliated banks through our cash sweep programs. This compensation may be a monthly per account fee or may be a percentage of average daily deposit balances.

### Activity

Information regarding commissions and other charges incurred in connection with the execution of trades, including option transactions has been included on confirmations previously furnished to you, and will be provided to you promptly on request.

### Short selling

If you are engaged in short selling a security, you may incur a charge due to certain borrowing costs for that particular security.

### Open orders

Regarding open or "good-till-cancelled" orders that were not executed by the statement date, open buy and sell stop orders are reduced by the amount of dividends or rights on an ex-dividends or ex-rights date unless instructed otherwise by you. You are responsible for orders that are executed due to your failure to cancel existing open orders.

### Privacy

To obtain a copy of our current Client Privacy Notice, please contact your Financial Advisor or visit our website at [www.ubs.com/privacypolicy](http://www.ubs.com/privacypolicy).

– UBS Financial Services is not a bank. The RMA, Business Services Account BSA and IRMA are brokerage accounts which provide access to banking services and products through arrangements with affiliated banks and other third-party banks, and provides access to insurance and annuity products issued by unaffiliated third-party insurance companies through insurance agency subsidiaries of UBS Financial Services Inc.

– Investment, insurance, and annuity products:

– Not FDIC insured • No bank guarantee • May lose value

– RMA, Resource Management Account, Business Services Account BSA, IRMA and International Resource Management Account are registered service marks of UBS Financial Services Inc.

– VISA is a registered trademark owned by Visa International Service Association and used under license. The UBS Visa credit cards and the UBS Visa debit cards are issued by UBS Bank USA with permission from Visa U.S.A. Incorporated. All other trademarks, registered trademarks, service marks and registered service marks are of their respective companies.

**FedEx** International Air Waybill  
Express

Origin Copy

**1 From**

Date 12/02/19 Sender's FedEx Account Number

Sender's Name Prime Clerk Phone

Company Prime Clerk US District Court PR

Address Federal Building Brooklyn

Address 150 Cadman Plaza East

City BROOKLYN State PR

Country US ZIP 11225-74169 Postal Code 11225-74169

Email Address

Internal Billing Reference

**2 To**

Recipient's Name PRIME CLERK Phone 2122574169

Address 850 3RD AVE STE 412 Dept/Floor

City BROOKLYN State NY

Country US ZIP 11232 Postal Code 11232

Email Address

Recipient's Tax ID Number for Customs Purposes

**3 Shipment Information**

Total Packages	Total Weight <u>5</u> lbs <input checked="" type="checkbox"/> kg <input type="checkbox"/> DIM	in. <input type="checkbox"/> cm <input type="checkbox"/>
Shipper's Load and Count/SLAC		
Commodity Description <u>Legal Documents</u> Harmonized Code <u>RECEIVED</u> Country of Manufacture <u> </u> Value for Customs <u> </u>		
Total Declared Value for Carriage <u> </u> Total Value for Customs (Specify Currency) <u> </u>		
Has EEI been filed in AES? <input type="checkbox"/> No EEI required, value \$2,500 or less per Sch. B Number, no license required (NLR), not subject to ITAR. For U.S. Export Only, Check One <input type="checkbox"/> No EEI required, enter exemption number: _____ <input type="checkbox"/> Yes - Enter AES proof of filing citation: _____		

**4 Express Package Service**

NOTE: Service order has changed. Please select carefully.

FedEx Int'l. First       FedEx Int'l. Priority       FedEx Int'l. Economy

**5 Packaging**

FedEx Envelope       FedEx Pak       FedEx Box       FedEx Tube  
 FedEx 10kg Box       FedEx 25kg Box       Other

**6 Special Handling and Delivery Signature Options** Fees may apply. See the FedEx Service Guide.

HOLD at FedEx Location       SATURDAY Delivery

Direct Signature Someone at recipient's address may sign for delivery       Indirect Signature If no one is available at recipient's address, someone at a neighboring address may sign for delivery. For residential deliveries only.

**7 Payment** Complete payment options for both transportation charges and duties and taxes.

Bill transportation charges to:

Enter FedEx Acct. No. or Credit Card No. below.

Sender Acct. No. in Section 1 will be billed       Recipient       Third Party       Credit Card       Cash Check/Cheque

Total Transportation 9095-8996-7

Credit Card Exp. Date

Specify Currency

Bill duties and taxes to:

Enter FedEx Acct. No. below.

Sender Acct. No. in Section 1 will be billed       Recipient       Third Party       Cash Check/Cheque

FedEx Acct. No.  

**8 Required Signature**

Use of this Air Waybill constitutes your agreement to the Conditions of Contract on the back of this Air Waybill, and you represent that this shipment does not require a U.S. State Department license or contain dangerous goods. Certain international treaties, including the Warsaw or Montreal Convention, may apply to this shipment and limit our liability for damage, loss, or delay, as described in the Conditions of Contract.

WARNING: These commodities, technology, or software were exported from the United States in accordance with Export Administration Regulations. Diversion contrary to U.S. law prohibited.

Sender's Signature: Allison Layley

Received above shipment in good order and condition. We agree to pay all charges, including Customs duties and taxes as applicable, and we agree to the Conditions of Carriage as stated on the reverse side of the Recipient's Copy.

Recipient's Signature

Origin Station ID	Country Code/Destination Station ID	URSA Routing	Handling Units
<u>SIGA</u>	<u>FJ5A</u>	<u>CAF5A</u>	Total Volume (cm)
Received At: <input type="checkbox"/> Reg. Stop	<input type="checkbox"/> On-Call Stop	<input type="checkbox"/> Drop Box	<input type="checkbox"/> World Service Center
<input type="checkbox"/> Station	<input type="checkbox"/> Other	<input type="checkbox"/> ODA/ DPA	<input type="checkbox"/> Credit Card Auth.
Base Charges Declared Val. Chrg. Other		ODA/ DPA Del. Courier Emp. # Date Time	
FedEx Audit Emp. # Date 12-07-19		Del. Courier Emp. # Date Time	
PART 158409 • Rev. Date 01/13 • ©1994-2013 FedEx • PRINTED IN U.S.A. RROA • Non-Negotiable International Air Waybill			

## EXHIBIT C-1

*Proof of Claim: <CLAIM NUMBER>  
Claimant: <CLAIMANT NAME>*

### **INFORMATION REQUESTED TO PROCESS YOUR CLAIM**

#### **Instructions**

Please answer all four (4) questions and any applicable sub-questions. Please include as much detail as possible in your responses. **Your answers should provide more information than the initial proof of claim.** For example, if you previously wrote as the basis for your claim "Ley 96," please elaborate as to the specific laws on which you are purporting to rely, the year the law at issue was enacted, and how and why you believe such particular law provides a basis for your claim. Additionally, if available and applicable to your claim, please provide:

- Copy of a pleading, such as a Complaint or an Answer;
- Any unpaid judgment or settlement agreement;
- Written notice of intent to file a claim with proof of mailing;
- Any and all documentation you believe supports your claim.

Please send the completed form and any supporting documents via **email** to [PRClaimsInfo@primeclerk.com](mailto:PRClaimsInfo@primeclerk.com), or by **mail or hand delivery** to the following address:

Commonwealth of Puerto Rico Supplemental Information Processing Center  
c/o Prime Clerk, LLC  
850 Third Avenue, Suite 412      **Received!**  
Brooklyn, NY 11232

**DEC 03 2019**

**Prime Clerk LLC**

*CDS 11/26/19*

#### **Questionnaire**

**1. What is the basis of your claim?**

- A pending or closed legal action with or against the Puerto Rican government
- Current or former employment with the Government of Puerto Rico
- Other (Provide as much detail as possible below. Attach additional pages if needed.)

**2. What is the amount of your claim (how much money do you claim to be owed):**

*Bondholder \$415,000*

**3. Employment. Does your claim relate to current or former employment with the Government of Puerto Rico?**

- No. Please continue to Question 4.
- Yes. Answer Questions 3(a)-(d).

3(a). Identify the specific agency or department where you were or are employed:

3(b). Identify the dates of your employment related to your claim:

3(c). Last four digits of your social security number: XXX-XX-9308

Please send the completed form and any supporting documents via email to [PRClaimsInfo@primeclerk.com](mailto:PRClaimsInfo@primeclerk.com), or by mail, hand delivery, or overnight mail to the following address:

Commonwealth of Puerto Rico Supplemental Information Processing Center  
c/o Prime Clerk, LLC  
850 3<sup>rd</sup> Avenue, Suite 412  
Brooklyn, NY 11232

All supplemental information that you provide will be appended to your claim and appear on the official claims register. If you do not respond to this request and do not provide the requested information and documentation in support of your claim, the Debtors may be forced to object to your claim.

**If you have any questions about this letter or your claim, please call: Prime Clerk LLC at (844) 822-9231 (toll free for U.S. and Puerto Rico) or (646) 486-7944 (for international callers), available 10:00 a.m. to 7:00 p.m. (Atlantic Standard Time) (Spanish available), or email [PRClaimsInfo@primeclerk.com](mailto:PRClaimsInfo@primeclerk.com).**

PLEASE NOTE: Prime Clerk, LLC is the claims and noticing agent in the Title III Cases, and cannot provide legal or financial advice.

Thank you,

Prime Clerk, LLC

3(d). What is the nature of your employment claims (select all applicable):

- Pension
  - Unpaid Wages
  - Sick Days
  - Union Grievance
  - Vacation
  - Other (Provide as much detail as possible. Attach additional pages if necessary).
- 
- 

4. **Legal Action.** Does your claim relate to a pending or closed legal action?

- No.
- Yes. **Answer Questions 4(a)-(f).**

4(a). Identify the department or agency that is a party to the action.

---

4(b). Identify the name and address of the court or agency where the action is pending:

---

4(c). Case number: \_\_\_\_\_

4(d). Title, Caption, or Name of Case: \_\_\_\_\_

4(e). Status of the case (pending, on appeal, or concluded): \_\_\_\_\_

4(f). Do you have an unpaid judgment? Yes / No (Circle one)

If yes, what is the date and amount of the judgment? \_\_\_\_\_

Supplemental Information Processing Center  
of the Commonwealth of Puerto Rico  
Grand Central Station, PO Box 4708  
New York, NY 10163-4708  
Phone: (844) 822-9231  
PRClaimsInfo@primeclerk.com

**\*\*\* Response required \*\*\***

**THIS LETTER RELATES TO A PROOF OF CLAIM FILED AGAINST THE PUERTO RICO GOVERNMENT IN PROCEEDINGS UNDER THE PUERTO RICO OVERSIGHT, MANAGEMENT, AND ECONOMIC STABILITY ACT.**

**READ THIS LETTER CAREFULLY AND RESPOND ACCORDING TO THE INSTRUCTIONS BELOW. IF YOU FAIL TO RESPOND, THE DEBTORS MAY TAKE LEGAL ACTION TO HAVE YOUR CLAIM DISMISSED IN WHOLE OR IN PART.**

August 26, 2019

Subject: Proof of claim under the PROMESA Act *En el caso Estado Libre Asociado de Puerto Rico* [In the case of the Commonwealth of Puerto Rico], Case No. 17-03283 United States District Court for the District of Puerto Rico

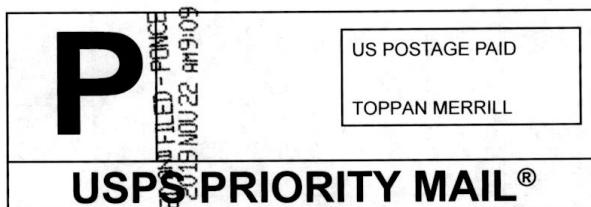
Dear Sir or Madam:

This letter is related to a proof of claim that you filed in the Title III cases against the Commonwealth of Puerto Rico, the Puerto Rico Highway and Transportation Authority, or the Electric Power Authority of the government of the Commonwealth of Puerto Rico (collectively, the "Debtors"). Prime Clerk LLC maintains the official record of claims in Title III Cases for the United States District Court for the District of Puerto Rico (the "Court"), and is contacting you on behalf of the Debtors.

The Debtor's records reflect that you have filed a proof of claim that has been annotated by Prime Clerk LLC with the Proof of Claim number. You may download a copy of your claim by visiting the Prime Clerk Website at: <https://cases.primeclerk.com/puertorico/Home-ClaimInfo>.

Additional information is required for Debtors to continue to evaluate your claim. With the information you have provided, the Debtors cannot determine the basis, nature, or amount of the claim you intend to make against one or more of the Debtors. In response to this letter, be sure to provide as much information as requested and as much detail as possible about your claim. The descriptions you included in your proof of claim are too vague for the Debtors to understand the claim you are trying to make; therefore, provide more information and do not simply copy the same information.

PRIME CLERK  
GRAND CENTRAL STATION, PO BOX 4850  
NEW YORK NY 10163-4850



**LEGAL NOTICE ENCLOSED.  
DIRECT TO ATTENTION OF ADDRESSEE  
OR PRESIDENT/GENERAL COUNSEL.**

RECEIVED

2019 NOV 26 P 4:25

\*\*\*CUST PR 1845 SRF 36961 PackID: 337 MMLID: 1482260 SVC: 94th Omni  
De La Haba, Teresa Angelica  
16E Calle Taft #1  
San Juan, PR 00911

Zone 8

**IF YOUR CLAIM IS LISTED HERE, ONE OR MORE OF THE DEBTORS ARE SEEKING  
TO DISALLOW YOUR CLAIM BECAUSE THEIR RECORDS SHOW THAT YOUR  
CLAIM IS DEFICIENT.**

NAME	CLAIM #	DATE FILED	DEBTOR	ASSERTED CLAIM AMOUNT
De La Haba, Teresa Angelica	12995	5/14/18	Employees Retirement System of the Government of the Commonwealth of Puerto Rico	\$0.00
<b>Reason:</b>	Proof of claim purports to assert liabilities associated with the Employees Retirement System of the Government of the Commonwealth of Puerto Rico, but fails to provide any basis or supporting documentation for asserting a claim against the Employees Retirement System of the Government of the Commonwealth of Puerto Rico, such that the Debtors are unable to determine whether claimant has a valid claim against the Employees Retirement System of the Government of the Commonwealth of Puerto Rico or any of the other Title III debtors.			

**SI SU RECLAMO ESTÁ INCLUIDO AQUÍ, UNO O MÁS DE LOS DEUDORES SOLICITAN QUE SU RECLAMO SEA RECHAZADO, PUESTO QUE LOS DATOS INDICAN QUE SU RECLAMO ES DEFICIENTE.**

NOMBRE	N.º DE RECLAMACIÓN	FECHA DE PRESENTACIÓN	DEUDOR	MONTO DE LA RECLAMACIÓN ALEGADA
De La Haba, Teresa Angelica	12995	5/14/18	Employees Retirement System of the Government of the Commonwealth of Puerto Rico	\$0.00
<b>Base para:</b>	La evidencia de reclamación tiene la intención de formular las responsabilidades asociadas con el Sistema de Retiro de los Empleados del Gobierno del Estado Libre Asociado de Puerto Rico, pero no proporciona los fundamentos ni la documentación de respaldo para formular una reclamación contra dicho sistema, de manera que los Deudores no pueden determinar si el reclamante tiene una reclamación válida contra el Sistema de Retiro de los Empleados del Gobierno del Estado Libre Asociado de Puerto Rico o cualquiera de los otros deudores en virtud del Título III.			

Copies of the Omnibus Objection and all other filings in the Title III Cases are available free online at <https://cases.primeclerk.com/puertorico>. If you have questions, please contact Prime Clerk LLC at (844) 822-9231 (toll free for U.S. and Puerto Rico) or (646) 486-7944 (for international callers), available 10:00 a.m. to 7:00 p.m. (Atlantic Standard Time) (Spanish available).

Copias de la Objección global, y todos los escritos radicados en el marco de las causas conforme al Título III, están disponibles, de manera gratuita, en <https://cases.primeclerk.com/puertorico>. Si tiene alguna pregunta, comuníquese con Prime Clerk LLC llamando al (844) 822-9231 (número gratuito para Estados Unidos y Puerto Rico) o (646) 486-7944 (para llamadas desde el extranjero), disponible entre las 10:00 a.m. y las 07:00 p.m. (AST) (hablamos español).

*[Remainder of document contains English Bank Statements]*



**TARGEM**  
**TRANSLATIONS**

**T** 718.384.8040  
**W** TargemTranslations.com  
**E** projects@targemtranslations.com  
**A** 185 Clymer St. Brooklyn, NY 11211

### **TRANSLATOR'S CERTIFICATE OF TRANSLATION**

Translation from: Spanish (Puerto Rico) into English (US)  
TARGEM Translations Inc.

I, Andreea I. Boscor, ATA-certified Spanish-English #525556, acting as translator at TARGEM Translations Inc., a NEW YORK City corporation, with its principal office at 185 Clymer Street, Brooklyn, NY, 11211, USA, certify that:

the English translated document is a true and accurate translation of the original Spanish and has been translated to the best of my knowledge.

Original Document Name: Claim No. 12995 - Mailing Response

Signed this 5<sup>th</sup> day of November 2020



Verify at [www.atanet.org/verify](http://www.atanet.org/verify)

A handwritten signature in black ink, appearing to read "Andreea I. Boscor".

Andreea I. Boscor

